CHAPTER 12

SMALL ARMS SERIAL NUMBER REGISTRATION AND REPORTING,

A. SCOPE

The provisions of this chapter apply to the Military Departments and Defense Agencies (hereafter referred to as DoD Components) responsible for inventory management of smal 1 arms.

B. GENERAL REQUIREMENTS

1. This chapter provides procedures for reporting small arms serial number data between DoD Components and the DoD Registry. Smal 1 arms, as defined in Definitions and Terms, including those mounted on aircraft, vehicles, and vessels, that are accounted for in unclassified property records, will be reported (included will be foreign and commercial weapons, and museum pieces with serial numbers) .

2. In addition to requirements contained in MILSTRIP (reference (h)), the shipping activity will provide a listing of the weapon serial numbers contained in each shipment with the shipment documentation accompanying small arms shipments between DoD Components. When shipments consist of multiple containers, the listing will identify which serial numbers are within each of the containers.

3. Small arms without an NSN and/or small arms (except museum pieces) with missing, obliterated, mutilated, or illegible serial numbers, when discovered, will be reported to the DoD Registry by the Component Registry, for review and assignment of an MCN/NSN and/or serial number. Assignment of LCN or MCN will not replace or be used in lieu of procedures to request assignment of an NSN where applicable. The Component Registry will report all small arms without an NSN and/or small arms serial number, by message or letter, for assignment of serial number and/or NSN in the following format:

NSN	Serial Number	Description
(NSN or none)	(SN or none)	(Make, model, caliber, and other nomenclature data)

4.   LCNs/MCNs will be used by the DoD Components for all weapon identification until a valid NSN can be obtained from the DoD Registry in accordance with paragraph B.3 or notification that the MCN/LCN will not be assigned an NSN.

5.   Lost, abandoned, or unclaimed privately-owned small arms that are processed through a Board of Officers for actions described in DoD 4160.21-M (reference **(ff))**, chapter VI, and subsequently, turned in to a DRMO, will be registered immediately when they come under Government control.

6.   Nonappropriated funded small arms turned in to a DRMO and privately-owned weapons classified as claims property will be registered immediately when they come under the control of DoD. Small arms that are claimed (private property whose title has passed to DoD as a result of a claim against the Government due to its damage in connection with Government activities, usually movement of household goods) and confiscated (private property whose title has passed to DoD as a result of being confiscated by appropriate authority, usually as a result of being abandoned and/or unauthorized for personal possession) by DoD activities will be reported immediately to Component Registries.

7.   The DoD Components will take action to obtain a new NSN (or currently assigned NSN) from the DoD Registry for modified weapons rendered inoperable that are used for ceremonial or training purposes. These weapons will be retained on the Component Registries as weapons subject to the reporting criteria.

8.   The DoD Components shall establish procedures to assure reporting of lost, stolen, unaccounted for, and/or recovered small arms under the provisions of DoD 5100.76-M (reference (old)) .

9.   In the event of mobilization or other emergency, the DoD Registry and the Component Registries will continue to operate and be maintained. Transaction Code J, Suspension of Reporting Requirements, may be utilized in emergency situations as authorized by the individual Services.

c. **OBJECTIVES**

1. Establish continuous visibility over all small arms by serial number from the contractor to depot; in storage; intransit to requisitioners; in post, camp, and station custody; in the hands of users; during turn-ins; in renovation; and during disposal/demilitarization.

2. Interface the small arms serial number reporting between the DoD Components using standard procedures.

3. Provide **followup** procedures for delinquent shipment/receipt transactions.

4. Provide reconciliation procedures.

5. Provide law enforcement agencies, within 72 hours, the identification of the last known accountable activity having a specific serial numbered small arm.

D. **EXCLUSIONS**

1. Small arms purchased with nonappropriated funds and **privately-** owned weapons are exempt from being reported to the DoD Central Registry since these weapons are controlled by civil authorities under the Gun Control Act of 1968. (This does not include weapons turned in for disposal. See paragraphs B.5. and B.6.)

2. Classified activities, which determine that specific small arms should not be registered under these procedures should request guidance through appropriate channels from the DoD Component.

3. Deviations from MILSTRAP requirements by DoD activities with small static inventories require concurrence of the JSACG and approval of the DoD MILSTRAP System Administrator. Requests for deviations, to include appropriate justification, will be submitted to the **Defense Logistics Management Standards Office**, **ATTN: DLMSO-DS**, 6301 Little River Turnpike, **Suite** 230, Alexandria, VA 22312-3508.

E. DELINEATION OF RESPONSIBILITIES

1. DoD Registry will:

a. Be operated and maintained by the Department of the Army.

b. Provide a central repository of small arms serial numbers from the Component Registries, to include those which are on hand, in transit, lost, stolen, demilitarized, or shipped outside the control of DoD .

c. Provide law enforcement agencies, within 72 hours, the identification of the last known accountable activity (to include telephone number) having a specific serial numbered small arm (see paragraph **G.6.**). Other inquiries, depending on volume and existing workload, will be responded to as expeditiously as possible.

d. Enter all inquiries from law enforcement agencies and inquiries from appropriate Military and civilian activities for weapons located in foreign countries on the DoD Registry file when no record exists on the active or inactive file. This will be accomplished by using the DI Code DSM transactions with Small Arms Transaction Code I and entering the message/inquiry form number in the document number field for cross-reference purposes. For weapons identified as belonging to a DoD Component, these entries will remain in the DoD active master file until the weapon is returned to DoD control and properly recorded on a Component Registry. Weapons identified as other than DoD in origin will be placed in the inactive file of the DoD registry.

e. Identify duplicate serial numbers on tapes received from the Component Registries, as a minimum, on a quarterly basis. The appropriate **Services/DLA** will be contacted to verify duplicates and the DoD Registry will issue selected suffixes to modify affected serial number(s) for all but one of the duplicate numbers. Weapons with duplicate serial numbers located in the wholesale system will be modified first, to the extent possible. In order to maintain an audit trail for all modification actions:

(1) Appropriate corrective instructions will be provided to Component Registries reporting duplicate serial numbers.

(2) A complete historical cross-reference record (mechanical or hard copy) will be established.

2. Component Registries will:

a. Maintain and control a mechanized active, and inactive, history file to control small arms serial numbers for which they maintain or had maintained accountability.

b. Update files based on transaction reporting; e.g., receipts? issues, turn-ins, and inter-Service transfers. Suffix codes will be perpetuated from all receipt/issue/adjustment transactions when updating files.

c. Use standard data elements prescribed in appendix B and transactions prescribed in appendix C to interface between Component Registries for reporting changes affecting the small arms status in the master file of the Component Registries.

d. Monthly, mail a magnetic tape to the DoD Registry reflecting active and inactive files in serial number sequence. The address is: Commander, U.S. Army Armament Munitions and Chemical Command, ATTN: **AMSMC-MMD-LW,** Rock Island, IL 61299-6000.

e. Identify duplicate serial numbers recorded on file and request altering instructions from the DoD Registry for all but one of the duplicate numbers. Suspend movement of these weapons pending verification of the record and/or receipt of instructions for modification of the serial number on the weapon.

f. Provide data available upon receipt of an inquiry from a law enforcement agency, and initiate action as deemed appropriate.

g. Perform an annual records verification utilizing the registry files to obtain records compatibility with depot custodial files and **ICP** accountable files by stock number and quantity.

h. Report weapons lost, damaged or destroyed in accordance with DoD 7200.10-M (reference (cc)). Small Arms Transaction Code Q is applicable for reporting potential lost or stolen small arms, pending full investigation/report of survey. Transaction code U is applicable for reporting if the missing weapon is found or recovered. The WSN control transaction, **DI** Code DSM, prepared in the format prescribed in appendix C32, will be used for updating the registries.

i. Identify on the Component Registry, with Small **Arm** Transaction Code L, weapons determined to be lost or stolen after **all** investigative requirements have been **initiated,** including a report of

survey. The **DI** Code DSM transaction prepared in the appendix C32 format, will be used. (Note: DoD Components are required to submit semiannual reports to the chair, Physical Security Review Board, in accordance with DoD Directive 5100.76-M (reference **(dd)**), for **all** weaPons where theft, loss, and recovery occur.)

j. Perform an annual reconciliation with all activities recorded on the registry as having possession and/or accountability of reported small arms by serial number, stock number, and quantity. The method of performing the reconciliation will depend on the Components' capability of utilizing AUTODIN **transactions, tapes,** or **listings.** When tapes or listings are used to perform the annual reconciliation, they will be identified by the appropriate transaction DI code either as header information or reflected with each line entry (see paragraph **G.8.).**

k. Report to the chairman of the JSACG all new weapons or devices that could be construed as weapons. The chairman will identify the reportability and notify the Services. Weapons or devices for which no determination can be made will be discussed by the full **JSACG.**

3. The JSACG responsibilities are as set forth in *DoDI 4140.60 (reference (t)).* The mailing address for the JSACG is: Commander, U.S. Army Logistics Evaluation Agency, ATTN: DALO-LEZ-L, New Cumberland Army Depot, New Cumberland, PA 17070-5010.

4. The **MILSTRAP** System Administrator's responsibilities are set forth in chapter 1, section F., and *DoDI* 4140.60 *(reference (t)).*

F. SAFEGUARDING AND PHYSICAL SECURITY OF ADP RECORDED DATA

1. The small arms data contained in the ADP records of the DoD Registry could produce classified data if the total number of serial numbers by weapon type were summarized. Consideration should be given to security of the small arms records due to their sensitive nature. Security of **ADP** records will be in accordance with DoD 5200.1-R (reference **(gg)).**

2. A determination to classify shall be made when there is sound reason to believe that knowledge of the information would provide a foreign national with an insight into the war potential, war defense plans, or posture of the United States and could reasonably be expected to cause a degree of harm to the national security.

3. The operation of this program does not relieve units/activities from the requirements for physical security of weapons in accordance with DoD Component regulations.

G. **OPERATING** PROCEDURES

1. The Component Registries will forward a tape record of their active and inactive files, in serial number **sequence,** to arrive at the DoD Registry not later than the 10th of each month. The tape record format will be in accordance with appendix C32. The DoD Registry will verify record counts as indicated on the tape.

2. The DoD Registry will combine the Components' tapes into a single file, in serial number **sequence,** not later than the 15th day of each month. The DoD Registry will identify duplicate serial numbers, as a minimum quarterly, in accordance with section E, paragraph i.e.

a. If the duplicate serial numbers appear during the next check, and are owned by a single Service, the Component Registry will be notified to validate the serial numbers. If duplicate serial numbers remain after this validation, the Component Registry will take action to request altering instructions from the DoD Registry to modify affected serial number(s) . The DoD Registry will issue modified serial numbers (utilizing **selected alpha** suffix) and maintain a **complete** historical cross-reference record.

b. If the duplicate serial numbers appear during the next check, and are owned by more than one DoD Component, the DoD Registry will notify each Component Registry to validate its serial numbers. If duplicates remain after this validation process, the DoD Registry will issue modified serial numbers to one of the Component Registries (utilizing selected alpha suffix) and maintain a **complete** historical cross-reference record.

3. Weapons recovered by law enforcement agencies or foreign countries and returned to the custody of a DoD Component will be registered on the Component Registry using Small Arms Transaction Code U and **DI** Code DSM.

4. WSN control transactions, **DI** Code DSM, are used to report inter-Service/Agency transfers between the Component Registries. The data flow for reporting shipments will be as indicated in the following. subparagraphs.

a. **Shipments** Between **DoD Compo**nents

(1) When small arms are selected for shipment by the shipping activity, the WSN transaction data for the weapons will be provided to the shipping Component Registry using a DI Code DSM transaction prepared in the appendix C32 format. The shipping Component Registry enters the small arms data in the active file to indicate the intransit shipment. The shipping Component Registry then forwards the WSN transaction to the destination Component Registry for all inter-Service/Agency shipments.

(2) The receiving Component Registry enters the small arms data into the active file to open the record. This record is maintained until confirmation of receipt of the weapon is provided by the receiving activity. The receiving activity verifies the serial number(s) and provides the WSN transaction to their Component Registry. The receiving Component Registry matches the small arms data against the intransit record. A match constitutes a reconciliation and completes the record. Discrepant serial number(s) will be verified by telephone or letter and corrective action taken as required. The receiving Component Registry provides the DSM transaction with transaction code R to the shipping Component Registry.

(3) Weapon shipments from one DoD Component to another for maintenance purposes will also be reported to appropriate Component Registries. This requirement will be included in any maintenance support agreement.

(4) If *30* calendar days from date of shipment for CONUS and 90 calendar days for overseas is exceeded, coordination will be initiated by the shipping Component Registry to determine the status of the outstanding S transaction(s) (see subparagraph H.I.e.) . (For receiving Component Registry procedures, see paragraph **H.2.**) A monthly overage shipment listing will also be provided to the receiving Component Registry.

b. **Shipme**nts **from** Procurement. When small arms are shipped from a contractor to activities within the DoD, the contractor is required to prepare three WSN control transactions. Transaction code P will be in the one transaction provided to the shipping Component Registry giving notification of shipment. The data are entered in the shipping Component Registry to open the record. This record will be maintained in suspense until confirmation of receipt of the weapon is provided by the receiving activity. The receiving activity will submit the DSM transaction to update its Component Registry. The two remaining

WSN transactions will have the RI code of the shipping Component Registry to which the confirmation of receipt will be provided. The WSN transactions will accompany the shipment documentation. When shipments consist of multiple containers, a listing will identify which serial numbers are within each of the containers.

     c. <u>Shipments to Foreign Military Sales/Grant Aid and Other</u> **Agencies** <u>Outside the Control of DoD</u>. When small arms are selected for shipment by the shipping activity, the WSN transactions for the weapons will be provided to the shipping Component Registry giving notification of shipment. The shipping Component Registry codes each weapon in the shipment, utilizing transaction code N, Shipment to Other Agencies or **F**, Shipment to FMS/Grant Aid, depending on type of transaction. The shipping Component Registry then enters the small arms shipment data into the inactive file. Weapons returned to the DoD supply system from previous shipments to FMS/Grant Aid and other agencies outside the control of DoD will be registered by the receiving activity on its Component Registry.

    5. When small arms are selected for destruction at the demilitarization activity, the small arms data (DI Code DSM transaction prepared in the format prescribed in appendix C32) is provided to the Component Registry once the demilitarization has been completed. The Component Registry codes each of the weapons demilitarized, using transaction code V. The Component Registry then enters the small arms demilitarization data into the inactive file.

    6. The DoD Small Arms Serialization Program is designed to provide investigative agencies with the identification of the last accountable activity having a specific serial numbered small arm within 72 hours. Investigative agencies will process all inquiries by message, letter, or telephone to the DoD Registry. The DoD Registry will identify the accountable Component Registry from the data contained in its master record and query that registry as to the last activity accountable for the specific serial numbered weapon. Once the Component Registry identifies the last accountable activity, response is provided to the investigative agency through the DoD Registry.

    7. Invalid or erroneous transactions, except DI Code DSA (see paragraph G.10.), will be rejected by the Component Registry to the originator of the transaction utilizing DI Code DSR transactions prepared in the format prescribed in appendix C33. Reject codes and corrective action required are contained in appendix **B14**. Since the reject advice. code identifies only one error condition in the transaction, activities

will review all other fields of the rejected transactions, prior to resubmission, to ensure that all data entries are correct.

a. Rejected transactions will be held in a suspense file by the Component Registry until corrective action has been received from the DoD Component. DI Code DSC transactions, prepared in the appendix C29 format, will be used to respond to rejected transactions.

b. In the event no corrective action is received by the Component Registry within 14 calendar days, a DI Code DSF followup transaction, prepared in the appendix C31 format, will be forwarded to the DoD Component.

8. The annual reconciliation of all small arms on the Component Registry will be performed utilizing DI Code DSR transaction, prepared in the appendix C33 format, and transaction code E (appendix B13) . Matching records will be considered reconciled. Duplicate small arms serial numbers detected during the reconciliation will require modification instructions from the DoD Registry. Component Registries that perform the annual reconciliation utilizing other than transaction reporting will ensure that listings contain DI Code DSR in the heading. Transaction code E need not be identified on the listing or posted to the Component Registry.

a. Records not matched, or for small arms for which no reconciliation was received by the Component Registry, will result in a reject, DI Code DSR, to the DoD Component. The appropriate reject codes are contained in appendix B14.

b. In the event corrective transactions and/or notification of a problem is not received from the DoD Component within 60 calendar days, the Component Registry will follow up utilizing DI Code DSF transaction, prepared in the appendix C31 format.

9. Mass stock number changes will be accomplished utilizing the DI Code DSB transaction prepared in the appendix *C28* format.

10. The Small Arms Multi-Field Corrections Transaction DI Code DSA, will be used by reporting activities to change erroneous information on the Component Registry active/inactive file. The Component Registry will reject DI Code DSA transactions that do not match the file or contain invalid data.

a. Reporting activities will prepare the DI Code DSA transaction, in the appendix C27 format, when the Component Registry

contains erroneous information. Changes can be made to the NSN/MCN/LCN/ DoDAAC/UIC of the accountable activity and serial number. When using the DI Code DSA transaction to correct erroneous entries recorded on the Component Registry,.. data previously reported in record positions 8 through 41 shall remain the same. Transaction code K will be entered in record position 7.

b. DI Code DSA transactions received by the Component Registry that do not match the NSN/MCN/LCN, reporting activity DoDAAC/UIC, or serial number contained on the active/inactive file will be rejected to the reporting activity. The rejected transaction will contain the appropriate error transaction reject code, as contained in appendix B14, in record positions 76-77 and the date rejected in record positions 78-80. Rejected transactions will be suspended in the Component Registry pending receipt of a corrected DI Code DSA transaction. Since only one reject code can be reflected in the rejected transaction, the reporting activity must review all entries for additional invalid data before resubmitting the corrected transaction.

c. Component Registries will not include the DI Code DSA transaction on their overlay tape to the DoD Registry. The Component Registry will convert the DI Code DSA received from the reporting activity to DI Code DSM with transaction code K in record position 7 and the old serial number in the document number field (record positions 30-43) for all changes to the serial number field for the monthly overlay tape.

H. TIME STANDARDS FOR PROCESSING UPDATES AND FOLLOWUPS FOR SHIPMENTS AND RECEIPTS

1. One objective of the small arms serial number registration and reporting procedures is to provide visibility of actual location of all weapons by the timely update of the Component Registries during the shipment or receipt process. The timeframe requirements for processing the WSN Control (DI Code DSM) for Small Arms Transaction Codes R and S are established for normal process time of 10 calendar days from date of action.

a. Within 10 calendar days of selection for shipment, the shipping activity will enter the WSN transaction data on the shipping Component Registry to indicate which serial numbers are included in the intransit shipment. Activities that do not have mechanized capability will provide the WSN transaction or hard copy information to the shipping

Component Registry by the fastest means available, leaving the shipping
activity within 10 calendar days of selection for shipment.

b. Within 10 calendar days of receipt of the WSN data from the
shipping activity, the shipping Component Registry will use the WSN
transaction with transaction code S to update its files, establish the
intransit record, and forward the WSN transaction to the receiving
Component Registry for all inter-Service/Agency shipments.

c. Within 10 calendar days of receipt of the small arms, the
receiving activity will use the WSN transaction data that accompanied the
shipment to verify the serial number(s) received and provide the WSN data
with transaction code R to the receiving Component Registry. Activities
that do not have mechanized capability will provide the WSN transaction
or hard copy information to the receiving Component Registry by the
fastest means available.

d. Within 10 calendar days of receipt of the WSN data from the
receiving activity, the receiving Component Registry will forward a WSN
transaction utilizing transaction code R to the shipping Component
Registry providing notification of receipt of weapons. The 10 calendar
days requirement for notification of shipments/receipts also applies to
weapon shipments from "one DoD Component to another for maintenance
purposes. This requirement will be included in any maintenance support
agreements between the DoD Components.

2. The shipping Component Registry will take followup action for
all weapons intransit 30 calendar days for CONUS shipments and 90
calendar days for overseas shipments, from date of shipment, for which no
confirmation of receipt (DI Code DSM with transaction code R) has been
received. DI Code DSD Small Arms Receipt/Shipment Followup, prepared as
specified in appendix C30, will be transmitted to the receiving Component
Registry. The transaction date (record positions 76-80) will be the
2-digit year and 3-digit ordinal day of the calendar year that the
weapon(s) was shipped. Allow 10 calendar days for response to the
followup transaction.

a. If the weapon has been received, the receiving Component
Registry will submit a DI Code DSM with transaction code R (record
position 7) and date received (record positions *76-80).*

b. If the weapon has not been received, the receiving Component
Registry will submit a DI Code DSM with transaction code A (record
position 7) and transaction date (record positions 76-80) will be left
blank.

c. If no response is received, an electronic transmission (message) will be sent to the receiving Component Registry with an information copy to the receiving activity and its higher headquarters.

d. Negative response or no response to the message will result in the shipping Component Registry reporting the weapon(s) as missing, lost, or stolen, to their appropriate investigative agency and the DoD Registry (see subparagraphs **E.2.h.** and **E.2.i.**) .

3. **Followup** procedures will be initiated by the receiving Component Registry for all weapons received for which no WSN with transaction code S was provided by the shipping Component Registry. The **followup** procedure is necessary to confirm that the serial number(s) reported as received matches the serial number(s) selected and shipped. The receiving Component Registry will take the **followup** action with the shipping Component Registry within 10 calendar days after a weapon(s) has been confirmed as received using **DI** Code DSD Small Arms Receipt/Shipment **Followup** transaction prepared as prescribed in appendix C30. The transaction date (record positions 76-80) will be the 2-digit year and 3-digit ordinal day of the calendar year that the weapon(s) was received. Lack of response within 10 calendar days will result in an electronic transmission (message) being sent to the shipping Component Registry with an information copy to the shipping activity and its higher headquarters.

4. The standard timeframes for inter-Service/Agency submission of transaction codes R and S, as prescribed above, also apply to intra-Service/Agency shipments and receipts.